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Attorneys for Defendant
MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
SAN JOSE DIVISION

MARK L. GRINGERI,

Plaintiff,

vs.

MERRILL LYNCH, PIERCE, FENNER &
SMITH INCORPORATED, PAT
WILLIAMS, and DOES 1 through 100,

Defendants.

CASE NO. _____

**CERTIFICATION OF INTERESTED
ENTITIES OR PERSONS PURSUANT TO
F.R.C.P. RULE 7.1 AND LOCAL RULE 3-
16**

[Santa Clara County Superior Court Case No.
07CV090322]

Pursuant to Rule 7.1 of the Federal Rules of Civil Procedure and Civil Local Rule
3-16, the undersigned certifies that the following persons, associations of persons, firms,
partnerships, corporations (including parent corporations) or other entities (i) have a financial
interest in the subject matter in controversy or in a party to the proceeding or (ii) have a non-
financial interest in that subject matter or in a party that could be substantially affected by the
outcome of this proceeding:

E-filing ADR

FILED

JUL 17 2008

RICHARD W. WIEKING
CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA

C08 03453

HRL

1 Defendant Merrill Lynch, Pierce, Fenner & Smith Incorporated has a financial
2 interest in the outcome of this proceeding. Merrill Lynch, Pierce, Fenner & Smith Incorporated is
3 a wholly-owned subsidiary of Merrill Lynch & Co., Inc., a publicly held corporation whose
4 shares are listed and traded on the New York Stock Exchange. Merrill Lynch & Co., Inc. does
5 not have any parent corporations.

6
7 DATED: July 11, 2008

MUNGER, TOLLES & OLSON LLP
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11 By: 
12 KATHERINE M. FORSTER

13 Attorneys for Defendant
14 MERRILL LYNCH, PIERCE, FENNER &
15 SMITH INCORPORATED
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